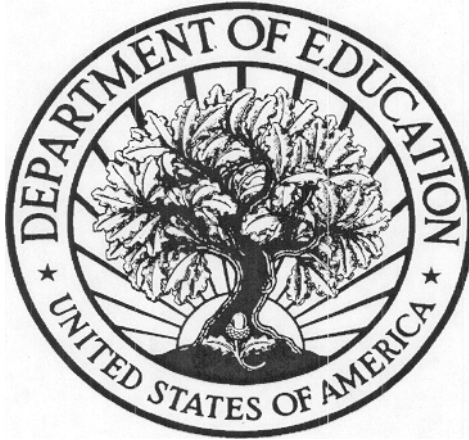


U.S. DEPARTMENT OF EDUCATION

TEACHER AND STUDENT DEVELOPMENT PROGRAMS SERVICE

WASHINGTON, D.C. 20006-8521

Archived Information



APPLICATION FOR NEW GRANTS

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) PROGRAM

CFDA NO. 84.200

DATED MATERIAL - OPEN IMMEDIATELY
CLOSING DATE: November 14, 2005

OMB NO. 1840-0604
EXPIRES 05/31/2007

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0604. The time required to complete this information collection is estimated to average 41.33 hours per response, including the time to review instructions, search existing data resources, gather needed data, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-5247. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** The Graduate Assistance in Areas of National Need Fellowship Program, U.S. Department of Education, 1990 K Street, N.W., 6th floor, Washington, DC 20006-8521.

Graduate Assistance in Areas of National Need (GAANN) Fellowship Program

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Dear Applicant:

Thank you for your interest in the Graduate Assistance in Areas of National Need (GAANN) program. Included in this application booklet are the program statute and regulations, and the instructions and forms needed to submit a complete application package to the U.S. Department of Education.

GAANN provides grants to academic departments and programs of institutions of higher education to support graduate fellowships for students with excellent academic records who demonstrate financial need and plan to pursue the highest degree available in their course of study.

We will accept grant applications in the following academic areas, designated by the Secretary as areas of national need for fiscal year 2006: biology, chemistry, computer and information sciences, engineering, geological and related sciences, mathematics, nursing, and physics. A department or program of an institution of higher education may also submit a multidisciplinary or interdisciplinary project application in two or more of these designated academic areas.

Invitational Priority: Within the absolute priorities specified above, the Secretary is particularly interested in receiving applications from nursing programs that focus on the preparation of nurse scholars at the PhD level for educational leadership roles. Graduates will become the teachers preparing students for careers in nursing, and will disseminate to the public new knowledge gained from disciplined inquiry related to nursing and nursing education.

Note: A multidisciplinary application must request funding for two or more proposed programs of study that are independent and unrelated to one another.

An interdisciplinary application must request funding for a single proposed program of study that involves academic fields in two or more disciplines.

Carefully review the Notice Inviting Applications, for the instructions and page limitations in Part III concerning submission of multidisciplinary, and interdisciplinary applications. Also, follow all instructions regarding e-Application submissions. In addition, a new font standard has been added to the notice, which requires that you use one of the following fonts: Times New Roman, Courier, Courier New or Arial. Applications submitted in any other font (including Times Roman, Arial Narrow) will not be accepted.

Please also review the selection criteria for this program. A final regulation removing the mandatory point values from the selection criteria, allowed the Secretary the flexibility to select specific point values to address current priorities for the program.

No single department or program may receive more than \$750,000 as an aggregate total of new and continuing GAANN grants in any fiscal year. A department or program may not submit more than one application for a new GAANN grant in any fiscal year.

For further information regarding the program, please contact Mr. Gary Thomas via e-mail at ope_gaann_program@ed.gov.

Thank you for your interest in the GAANN Program. We look forward to receiving your application.

Sincerely,

Wilbert Bryant
Deputy Assistant Secretary
for Higher Education Programs

FR Doc 05-16607

[Federal Register: August 22, 2005 (Volume 70, Number 161)]

[Notices]

[Page 48940-48943]

From the Federal Register Online via GPO Access [wais.access.gpo.gov]

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DEPARTMENT OF EDUCATION

Office of Postsecondary Education; Overview Information; Graduate Assistance in Areas of National Need; Notice Inviting Applications for New Awards for Fiscal Year (FY) 2006

Catalog of Federal Domestic Assistance (CFDA) Number: 84.200A

DATES: Applications Available: August 29, 2005.

Deadline for Transmittal of Applications: November 14, 2005.

Deadline for Intergovernmental Review: January 16, 2006.

Eligible Applicants: Academic departments of institutions of higher education that meet the requirements in 34 CFR 648.2.

Estimated Available Funds: The Administration has requested \$20,340,000 for new awards under this program for FY 2006. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Estimated Range of Awards: \$126,000--\$253,000.

Estimated Average Size of Awards: \$211,000.

Estimated Number of Awards: 96.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: This program provides fellowships in areas of national need to assist graduate students with excellent academic records who demonstrate financial need and plan to pursue the highest degree available in their courses of study.

Priority: In accordance with 34 CFR 75.105(b)(2)(ii), this priority is from the regulations for this program (34 CFR 648.33(a) and Appendix to Part 648--Academic Areas).

Absolute Priority: For FY 2006 this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

Areas of National Need

A project must provide fellowships in one or more of the following areas of national need: Biology, chemistry, computer and information sciences, engineering, geological and related sciences, mathematics, nursing, and physics.

Within this absolute priority the Secretary is particularly interested in applications that address the following invitational priority:

Invitational Priority. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

A nursing program that focuses on the preparation of nurse scholars at the PhD level for educational leadership roles. Graduates of this type of program will become the teachers preparing students for careers in nursing, and will disseminate to the public new knowledge gained from disciplined inquiry related to nursing and nursing education.

Program Authority: 20 U.S.C. 1135.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 82, 84, 85, 86, 97, 98, and 99. (b) The regulations for this program in 34 CFR part 648.

II. Award Information

Type of Award: Discretionary grants, redistributed as fellowships to individual fellows.

Estimated Available Funds: The Administration has requested \$20,340,000 for new awards under this program for FY 2006. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Estimated Range of Awards: \$126,000-\$253,000.

Estimated Average Size of Awards: \$211,000.

Estimated Number of Awards: 96.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

Stipend Level: The Secretary will determine the fellowship stipend for Graduate Assistance in Areas of National Need for the academic year 2006-2007 based on the level of support provided by the graduate fellowships of the National Science Foundation as of February 1, 2006. However, the Secretary will adjust the amount, as necessary, so as not to exceed the fellow's demonstrated level of financial need as calculated for purposes of the Federal student financial aid programs under Title IV, part F of the Higher Education Act of 1965, as amended.

Institutional Payment: The Secretary will determine the institutional payment for the academic year 2006-2007 by adjusting the previous academic year institutional payment, which is \$11,822 per fellow, by the U.S. Department of Labor's Consumer Price Index for the 2005 calendar year.

III. Eligibility Information

1. Eligible Applicants: Academic departments of institutions of higher education that meet the requirements in 34 CFR 648.2.

2. Cost Sharing or Matching: This program involves matching (See 34 CFR 648.7).

3. Other: For requirements relating to selecting fellows, see 34 CFR 648.40.

IV. Application and Submission Information

1. Address To Request Application Package: Applications can only be accessed electronically on the Graduate Assistance in Areas of National Need Web site:

<http://www.ed.gov/programs/gaann/applicant.html>.

An applicant who is unable to obtain an electronic copy of the application package may submit a written request to obtain a hard copy. In the request, the applicant should explain the reason or reasons that prevent the applicant from using the Internet to obtain a copy of the application. If you mail your written request to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written request to the Department, we must receive the faxed request no later than two weeks before the application deadline date.

Address and mail or fax your request to: Rebecca Green, U.S. Department of Education, 1990 K Street, N.W., room 6096, Washington, DC 20006-8524. Fax (202) 502-7859.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit Part III as follows:

An application in a single discipline must be limited to the equivalent of no more than 40 pages.

An interdisciplinary application must be limited to the equivalent of no more than 60 pages. An interdisciplinary application must request funding for a single proposed program of study that involves two or more academic disciplines.

A multidisciplinary application must be limited to the equivalent of no more than 40 pages for each academic discipline included in the proposal. A multidisciplinary application must request funding for two or more proposed programs of study that are independent and unrelated to one another.

A "page" is 8.5 x 11, on one side only, with 1 margins at the top, bottom, and both sides.

Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions. However, you may single space all text in charts, tables, figures, and graphs. Charts, tables, figures, and graphs presented in the application narrative count toward the page limit.

Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

You may use a 10-point font in charts, tables, figures, graphs, footnotes, and endnotes. However, these items are included as part of the narrative and counted within the specified page limit.

Use one of the following fonts: Times New Roman, Courier, Courier New or Arial. Applications submitted in any other font (including Times Roman, Arial Narrow) will not be accepted.

Appendices are limited to the following: Curriculum vitae--no more than two pages per faculty member; a course listing; letters of support; bibliography; and one additional optional appendix relevant to the support of the proposal, not to exceed five pages.

The page limit does not apply to Part I, the cover sheet; Part II, the budget section; the assurances and certifications; the one-page abstract; or the appendices. However, you must include all of the application narrative in Part III.

We will reject your application if--

You apply these standards and exceed the page limit; or

You apply other standards and exceed the equivalent of the page limit.

3. Submission Dates and Times:

Applications Available: August 29, 2005.

Deadline for Transmittal of Applications: November 14, 2005.

Applications for grants under this program must be submitted

electronically using the Electronic Grant Application System (e-Application) available through the Department's e-Grants system. For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

Deadline for Intergovernmental Review: January 16, 2006.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We specify unallowable costs in 34 CFR 648.64. We reference additional regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this program must be submitted electronically, unless you qualify for an exception to this requirement in accordance with the instructions in this section.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

a. Electronic Submission of Applications. Applications for grants under the Graduate Assistance in Areas of National Need Competition--CFDA Number 84.200A must be submitted electronically using e-Application available through the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov/>.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

You must complete the electronic submission of your grant application by 4:30 p.m., Washington, D.C. time, on the application deadline date. The e-Application system will not accept an application for this program after 4:30 p.m., Washington, D.C. time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

The regular hours of operation of the e-Grants Web site are 6 a.m. Monday until 7 p.m. Wednesday; and 6 a.m. Thursday until midnight Saturday, Washington, D.C. time. Please note that the system is unavailable on Sundays, and between 7 p.m. on Wednesdays and 6 a.m. on Thursdays, Washington, D.C. time, for maintenance. Any

modifications to these hours are posted on the e-Grants Web site.

You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information Sheet, and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.

Your electronic application must comply with any page limit requirements described in this notice.

Prior to submitting your electronic application, you may wish to print a copy of it for your records.

After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).

Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:

- (1) Print ED 424 from e-Application.

- (2) The applicant's Authorizing Representative must sign this form.

- (3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.

- (4) Fax the signed ED 424 to the Application Control Center at (202) 245-6272.

We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-Application System Unavailability: If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

- (1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

- (2) (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, D.C. time, on the application deadline date; or

- (b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, D.C. time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to

confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under FOR FURTHER INFORMATION CONTACT (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of the Department's e-Application system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the e-Application system because--

You do not have access to the Internet; or

You do not have the capacity to upload large documents to the Department's e-Application system; and

No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Cosette Ryan, U.S. Department of Education, 1990 K Street, N.W., room 6008, Washington, DC 20006-8521. Fax: (202) 502-7860.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail. If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service: U.S. Department of Education, Application Control Center, Attention: (CFDA Number 84.200A), 400 Maryland Avenue, S.W., Washington, DC 20202-4260; or

By mail through a commercial carrier: U.S. Department of Education, Application Control Center--Stop 4260, Attention: (CFDA Number 84.200A), 7100 Old Landover Road, Landover, MD 20785-1506.

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

(1) A legibly dated U.S. Postal Service postmark,

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,

(3) A dated shipping label, invoice, or receipt from a commercial carrier, or

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

(1) A private metered postmark, or

(2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery. If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address: U.S. Department of Education, Application Control Center, Attention: (CFDA Number 84.200A), 550 12th Street, S.W., Room 7041, Potomac Center Plaza, Washington, DC 20202-4260.

The Application Control Center accepts hand deliveries daily between 8 a.m. and 4:30 p.m., Washington, D.C. time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

(1) You must indicate on the envelope and--if not provided by the Department--in Item 4 of the ED 424 the CFDA number--and suffix letter, if any--of the competition under which you are submitting your application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

1. Selection Criteria: The selection criteria for this program are in 34 CFR 648.31.

2. Review and Selection Process: Additional factors we consider in selecting an application for an award are in 34 CFR 648.32.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding,

we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118 and in 34 CFR 648.66.

4. Performance Measures: Under the Government Performance and Results Act (GPRA), three measures have been developed for evaluating the overall effectiveness of the Graduate Assistance in Areas of National Need program: (1) The percentage of fellows in the Graduate Assistance in Areas of National Need program who obtain a terminal degree in an area of national need, compared to the national average; (2) the percentage of fellows in the Graduate Assistance in Areas of National Need program from traditionally underrepresented populations who obtain a terminal degree in an area of national need, compared to the national average; and (3) the median duration of time from entering graduate school until degree completion compared to comparable doctoral students as identified annually in the Survey of Earned Doctorates.

All grantees will be expected to submit an annual performance report documenting their success in addressing these performance measures.

VII. Agency Contact

FOR FURTHER INFORMATION CONTACT: Cosette Ryan, U.S. Department of Education, Graduate Assistance in Areas of National Need Program, 1990 K Street N.W., room 6008, Washington, DC 20006-8521. Telephone: (202) 502-7637 or by e-mail: ope_gaann_program@ed.gov.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotope, or computer diskette) on request to the program contact person listed in this section.

VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the

Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

<http://www.ed.gov/news/fedregister>.

To use PDF you must have adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, D.C. area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.gpoaccess.gov/nara/index.html>.

Dated: August 17, 2005.

Sally L. Stroup,

Assistant Secretary for Postsecondary Education.

[FR Doc. 05-16607 Filed 8-19-05; 8:45 am]

BILLING CODE 4000-01-P

HIGHER EDUCATION ACT OF 1965

**TITLE VII – GRADUATE AND POSTSECONDARY
IMPROVEMENT PROGRAMS**

PART A – GRADUATE EDUCATION PROGRAMS

Subpart 2 – Graduate Assistance in Areas of National Need

PROGRAM STATUTE

TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

SEC. 701. REVISION OF TITLE VII.

Title VII (20 U.S.C. 1132a et seq.) is amended to read as follows:

'TITLE VII--GRADUATE AND POSTSECONDARY IMPROVEMENT PROGRAMS

'SEC. 700. PURPOSE.

'It is the purpose of this title--

'(1) to authorize national graduate fellowship programs--

'(A) in order to attract students of superior ability and achievement, exceptional promise, and demonstrated financial need, into high-quality graduate programs and provide the students with the financial support necessary to complete advanced degrees; and

'(B) that are designed to--

'(i) sustain and enhance the capacity for graduate education in areas of national need; and

'(ii) encourage talented students to pursue scholarly careers in the humanities, social sciences, and the arts; and

'(2) to promote postsecondary programs.

'PART A—GRADUATE EDUCATION PROGRAMS

'Subpart 2--Graduate Assistance in Areas of National Need

'SEC. 711. GRANTS TO ACADEMIC DEPARTMENTS AND PROGRAMS OF INSTITUTIONS.

'(a) GRANT AUTHORITY -

'(1) IN GENERAL - The Secretary shall make grants to academic departments, programs and other academic units of institutions of higher education that provide courses of study leading to a graduate degree in order to enable such institutions to provide assistance to graduate students in accordance with this subpart.

'(2) ADDITIONAL GRANTS - The Secretary may also make grants to such departments, programs and other academic units of institutions of higher education granting graduate degrees which submit joint proposals involving non-degree granting institutions which have formal arrangements for the support of doctoral dissertation research with degree-granting institutions. Non-degree granting institutions eligible for awards as part of such joint proposals include any organization which--

'(A) is described in section 501(c)(3) of the Internal Revenue Code of 1986, and is exempt from tax under section 501(a) of such Code;

'(B) is organized and operated substantially to conduct scientific and cultural research and graduate training programs;

'(C) is not a private foundation;

'(D) has academic personnel for instruction and counseling who meet the standards of the institution of higher education in which the students are enrolled; and

'(E) has necessary research resources not otherwise readily available in such institutions to such students.

'(b) AWARD AND DURATION OF GRANTS -

'(1) AWARDS - The principal criterion for the award of grants shall be the relative quality of the graduate programs presented in competing applications. Consistent with an allocation of awards based on quality of competing applications, the Secretary shall, in awarding such grants, promote an equitable geographic distribution among eligible public and private institutions of higher education.

'(2) DURATION AND AMOUNT -

'(A) DURATION - The Secretary shall award a grant under this subpart for a period of 3 years.

'(B) AMOUNT - The Secretary shall award a grant to an academic department, program or unit of an institution of higher education under this subpart for a fiscal year in an amount that is not less than \$100,000 and not greater than \$750,000.

'(3) REALLOTMENT - Whenever the Secretary determines that an academic department, program or unit of an institution of higher education is unable to use all of the amounts available to the department, program or unit under this subpart, the Secretary shall, on such dates during each fiscal year as the Secretary may fix, re-allot the amounts not needed to academic departments, programs and units of institutions which can use the grants authorized by this subpart.

'(c) PREFERENCE TO CONTINUING GRANT RECIPIENTS -

'(1) IN GENERAL - The Secretary shall make new grant awards under this subpart only to the extent that each previous grant recipient under this subpart has received continued funding in accordance with subsection (b)(2)(A).

'(2) RATABLE REDUCTION- To the extent that appropriations under this subpart are insufficient to comply with paragraph (1), available funds shall be distributed by ratably reducing the amounts required to be awarded under subsection (b)(2)(A).

'SEC. 712. INSTITUTIONAL ELIGIBILITY.

'(a) ELIGIBILITY CRITERIA - Any academic department, program or unit of an institution of higher education that offers a program of post baccalaureate study leading to a graduate degree in an area of national need (as designated under subsection (b)) may apply for a grant under this subpart. No department, program or unit shall be eligible for a grant unless the program of post baccalaureate study has been in existence for at least 4 years at the time of application for assistance under this subpart.

'(b) DESIGNATION OF AREAS OF NATIONAL NEED- After consultation with appropriate Federal and nonprofit agencies and organizations, the Secretary shall designate areas of national need. In making such designations, the Secretary shall take into account the extent to which the interest in the area is compelling, the extent to which other Federal programs support post baccalaureate study in the area concerned, and an assessment of how the program could achieve the most significant impact with available resources.

'SEC. 713. CRITERIA FOR APPLICATIONS.

'(a) SELECTION OF APPLICATIONS - The Secretary shall make grants to academic departments, programs and units of institutions of higher education on the basis of applications submitted in accordance with subsection (b). Applications shall be ranked on program quality by review panels of nationally recognized scholars and evaluated on the quality and effectiveness of the academic program and the achievement and promise of the students to be served. To the extent possible (consistent with other provisions of this section), the Secretary shall make awards that are consistent with recommendations of the review panels.

'(b) CONTENTS OF APPLICATIONS - An academic department, program or unit of an institution of higher education, in the department, program or unit's application for a grant, shall--

'(1) describe the current academic program of the applicant for which the grant is sought;

'(2) provide assurances that the applicant will provide, from other non-Federal sources, for the purposes of the fellowship program under this subpart an amount equal to at least 25 percent of the amount of the grant received under this subpart, which contribution may be in cash or in kind, fairly valued;

'(3) set forth policies and procedures to assure that, in making fellowship awards under this subpart, the institution will seek talented students from traditionally underrepresented backgrounds, as determined by the Secretary;

'(4) describe the number, types, and amounts of the fellowships that the applicant intends to offer with grant funds provided under this part;

'(5) set forth policies and procedures to assure that, in making fellowship awards under this subpart, the institution will make awards to individuals who--

'(A) have financial need, as determined under part F of title IV;

'(B) have excellent academic records in their previous programs of study; and

'(C) plan to pursue the highest possible degree available in their course of study;

'(6) set forth policies and procedures to ensure that Federal funds made available under this subpart for any fiscal year will be used to supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of this subpart and in no case to supplant those funds;

'(7) provide assurances that, in the event that funds made available to the academic department, program or unit under this subpart are insufficient to provide the assistance due a student under the commitment entered into between the academic department, program or unit and the student, the academic department, program or unit will, from any funds available to the department, program or unit, fulfill the commitment to the student;

'(8) provide that the applicant will comply with the limitations set forth in section 715;

'(9) provide assurances that the academic department will provide at least 1 year of supervised training in instruction for students; and

'(10) include such other information as the Secretary may prescribe.

'SEC. 714. AWARDS TO GRADUATE STUDENTS.

'(a) COMMITMENTS TO GRADUATE STUDENTS -

'(1) IN GENERAL - An academic department, program or unit of an institution of higher education shall make commitments to graduate students who are eligible students under section 484 (including students pursuing a doctoral degree after having completed a master's degree program at an institution of higher education) at any point in their graduate study to provide stipends for the length of time necessary for a student to complete the course of graduate study, but in no case longer than 5 years.

'(2) SPECIAL RULE - No such commitments shall be made to students under this subpart unless the academic department, program or unit has determined adequate funds are available to fulfill the commitment from funds received or anticipated under this subpart, or from institutional funds.

'(b) AMOUNT OF STIPENDS - The Secretary shall make payments to institutions of higher education for the purpose of paying stipends to individuals who are awarded fellowships under this subpart. The stipends the Secretary establishes shall reflect the purpose of the program under this subpart to encourage highly talented students to undertake graduate study as described in this subpart. In the case of an individual who receives such individual's first stipend under this subpart in academic year 1999-2000 or

any succeeding academic year, such stipend shall be set at a level of support equal to that provided by the National Science Foundation graduate fellowships, except such amount shall be adjusted as necessary so as not to exceed the fellow's demonstrated level of need as determined under part F of title IV.

'(c) TREATMENT OF INSTITUTIONAL PAYMENTS - An institution of higher education that makes institutional payments for tuition and fees on behalf of individuals supported by fellowships under this subpart in amounts that exceed the institutional payments made by the Secretary pursuant to section 716(a) may count such excess toward the amounts the institution is required to provide pursuant to section 714(b)(2).

'(d) ACADEMIC PROGRESS REQUIRED - Notwithstanding the provisions of subsection (a), no student shall receive an award--

'(1) except during periods in which such student is maintaining satisfactory progress in, and devoting essentially full time to, study or research in the field in which such fellowship was awarded; or

'(2) if the student is engaging in gainful employment other than part-time employment involved in teaching, research, or similar activities determined by the institution to be in support of the student's progress towards a degree.

'SEC. 715. ADDITIONAL ASSISTANCE FOR COST OF EDUCATION.

'(a) INSTITUTIONAL PAYMENTS -

'(1) IN GENERAL- The Secretary shall (in addition to stipends paid to individuals under this subpart) pay to the institution of higher education, for each individual awarded a fellowship under this subpart at such institution, an institutional allowance. Except as provided in paragraph (2), such allowance shall be, for 1999-2000 and succeeding academic years, the same amount as the institutional payment made for 1998-1999 adjusted annually thereafter in accordance with inflation as determined by the Department of Labor's Consumer Price Index for the previous calendar year.

'(2) REDUCTION- The institutional allowance paid under paragraph (1) shall be reduced by the amount the institution charges and collects from a fellowship recipient for tuition and other expenses as part of the recipient's instructional program.

'(b) USE FOR OVERHEAD PROHIBITED- Funds made available pursuant to this subpart may not be used for the general operational overhead of the academic department or program.

'SEC. 716. AUTHORIZATION OF APPROPRIATIONS.

'There are authorized to be appropriated \$35,000,000 for fiscal year 1999 and such sums as may be necessary for each of the 4 succeeding fiscal years to carry out this subpart.

HIGHER EDUCATION ACT OF 1965

**TITLE VII – GRADUATE AND POSTSECONDARY
IMPROVEMENT PROGRAMS**

PART A – GRADUATE EDUCATION PROGRAMS

Subpart 2 – Graduate Assistance in Areas of National Need

PROGRAM REGULATIONS

[Code of Federal Regulations]
[Title 34, Volume 3]
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TITLE 34--EDUCATION

DEPARTMENT OF EDUCATION

PART 648--GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED

Subpart A--General

Sec. 648.1 What is the Graduate Assistance in Areas of National Need program?

The Graduate Assistance in Areas of National Need program provides fellowships through academic departments of institutions of higher education to assist graduate students of superior ability who demonstrate financial need.

(Authority: 20 U.S.C. 1135, 1135a)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

Sec. 648.2 Who is eligible for a grant?

(a) The Secretary awards grants to the following:

(1) Any academic department of an institution of higher education that provides a course of study that--

(i) Leads to a graduate degree in an area of national need; and

(ii) Has been in existence for at least four years at the time of an application for a grant under this part.

(2) An academic department of an institution of higher education that--

(i) Satisfies the requirements of paragraph (a)(1) of this section; and

(ii) Submits a joint application with one or more eligible non-degree-granting institutions that have formal arrangements for the support of doctoral dissertation research with one or more

degree-granting institutions.

(b) A formal arrangement under paragraph (a)(2)(ii) of this section is a written agreement between a degree-granting institution and an eligible non-degree-granting institution whereby the degree-granting institution accepts students from the eligible non-degree-granting institution as doctoral degree candidates with the intention of awarding these students doctorates in an area of national need.

(c) The Secretary does not award a grant under this part for study at a school or department of divinity.

(Authority: 20 U.S.C. 1135, 1135a)

Sec. 648.3 What activities may the Secretary fund?

(a) The Secretary awards grants to institutions of higher education to fund fellowships in one or more areas of national need.

(b)(1) For the purposes of this part, the Secretary designates areas of national need from the academic areas listed in the appendix to this part or from the resulting inter-disciplines.

(2) The Secretary announces these areas of national need in a notice published in the Federal Register.

(Authority: 20 U.S.C. 1135, 1135a)

Sec. 648.4 What is included in the grant?

Each grant awarded by the Secretary consists of the following:

(a) The stipends paid by the Secretary through the institution of higher education to fellows. The stipend provides an allowance to a fellow for the fellow's (and his or her dependents') subsistence and other expenses.

(b) The institutional payments paid by the Secretary to the institution of higher education to be applied against each fellow's tuition, fees, and the costs listed in Sec. 648.62(b).

(Authority: 20 U.S.C. 1135c, 1135d)

Sec. 648.5 What is the amount of a grant?

(a) The amount of a grant to an academic department may not be less than \$100,000 and may not be more than \$750,000 in a fiscal year.

(b) In any fiscal year, no academic department may receive more than \$750,000 as an aggregate total of new and continuing grants.

(Authority: 20 U.S.C. 1135)

Sec. 648.6 What is the duration of a grant?

The duration of a grant awarded under this part is a maximum of three annual budget periods during a three-year (36-month) project period.

(Authority: 20 U.S.C. 1135)

Sec. 648.7 What is the institutional matching contribution?

An institution shall provide, from non-Federal funds, an institutional matching contribution equal to at least 25 percent of the amount of the grant received under this part, for the uses indicated in Sec. 648.63.

(Authority: 20 U.S.C. 1135b, 1135c)

Sec. 648.8 What regulations apply?

The following regulations apply to this program:

(a) The Education Department General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).

(2) 34 CFR part 75 (Direct Grant Programs).

(3) 34 CFR part 77 (Definitions that Apply to Department Regulations).

(4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).

(5) 34 CFR part 82 (New Restrictions on Lobbying).

(6) 34 CFR part 85 (Governmentwide

Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)).

(7) 34 CFR part 86 (Drug-Free Schools and Campuses).

(b) The regulations in this part.

(Authority: 20 U.S.C. 1135)

Sec. 648.9 What definitions apply?

(a) *Definitions in EDGAR.* The following terms used in this part are defined in 34 CFR 77.1:

Applicant	Equipment
Application	Grant
Award	Nonprofit
Budget	Project period
Budget period	Secretary
Department	Supplies
EDGAR	

(b) *Other definitions.* The following definitions also apply to this part:

Academic department means any department, program, unit, or any other administrative subdivision of an institution of higher education that--

(i) Directly administers or supervises post-baccalaureate instruction in a specific discipline; and

(ii) Has the authority to award academic course credit acceptable to meet degree requirements at an institution of higher education.

Academic field means an area of study in an academic department within an institution of higher education other than a school or department of divinity.

Academic year means the 12-month period commencing with the fall instructional term of the institution.

Application period means the period in which the Secretary solicits applications for this program.

Discipline means a branch of instruction or learning.

Eligible non-degree granting institution means any institution that--

(i) Conducts post-baccalaureate academic

programs of study but does not award doctoral degrees in an area of national need;

(ii) Is described in section 501(c)(3) of the Internal Revenue Code of 1986 and is exempt from tax under section 501(a) of the Code;

(iii) Is organized and operated substantially to conduct scientific and cultural research and graduate training programs;

(iv) Is not a private foundation;

(v) Has academic personnel for instruction and counseling who meet the standards of the institution of higher education in which the students are enrolled; and

(vi) Has necessary research resources not otherwise readily available in the institutions in which students are enrolled.

Fees mean non-refundable charges paid by a graduate student for services, materials, and supplies that are not included within the tuition charged by the institution in which the student is enrolled.

Fellow means a recipient of a fellowship under this part.

Fellowship means an award made by an institution of higher education to an individual for graduate study under this part at the institution of higher education.

Financial need means the fellow's financial need as determined under title IV, part F, of the HEA for the period of the fellow's enrollment in the approved academic field of study for which the fellowship was awarded.

General operational overhead means non-instructional expenses incurred by an academic department in the normal administration and conduct of its academic program, including the costs of supervision, recruitment, capital outlay, debt service, indirect costs, or any other costs not included in the determination of tuition and non-refundable fee charges.

Graduate student means an individual enrolled in a program of post-baccalaureate study at an institution of higher education.

Graduate study means any program of post-baccalaureate study at an institution of higher education.

HEA means the Higher Education Act of 1965, as amended.

Highest possible degree available means a doctorate in an academic field or a master's degree, professional degree, or other post-

baccalaureate degree if a doctorate is not available in that academic field.

Institution of higher education (Institution) means an institution of higher education, other than a school or department of divinity, as defined in section 1201(a) of the HEA.

Inter-discipline means a course of study that involves academic fields in two or more disciplines.

Minority means Alaskan Native, American Indian, Asian American, Black (African-American), Hispanic American, Native Hawaiian or Pacific Islander.

Multi-disciplinary application means an application that requests fellowships for more than a single academic department in areas of national need designated as priorities by the Secretary under this part.

Project means the activities necessary to assist, whether from grant funds or institutional resources, fellows in the successful completion of their designated educational programs.

Satisfactory progress means that a fellow meets or exceeds the institution's criteria and standards established for a graduate student's continued status as an applicant for the graduate degree in the academic field for which the fellowship was awarded.

School or department of divinity means an institution, or an academic department of an institution, whose program is specifically for the education of students to prepare them to become ministers of religion or to enter into some other religious vocation or to prepare them to teach theological subjects.

Students from traditionally underrepresented backgrounds mean women and minorities who traditionally are underrepresented in areas of national need as designated by the Secretary.

Supervised training means training provided to fellows under the guidance and direction of faculty in the academic department.

Tuition means the charge for instruction by the institution of higher education in which the fellow is enrolled.

Underrepresented in areas of national need means proportionate representation as measured by degree recipients, that is less than the proportionate representation in the general population, as indicated by--

- (i) The most current edition of the Department's Digest of Educational Statistics;
- (ii) The National Research Council's Doctorate Recipients from United States Universities;
- (iii) Other standard statistical references, as announced annually in the Federal Register notice inviting applications for new awards under this program; or
- (iv) As documented by national survey data submitted to and accepted by the Secretary on a case-by-case basis.

(Authority: 20 U.S.C. 1135-1135d)

Subpart B--How Does an Institution of Higher Education Apply for a Grant?

Sec. 648.20 How does an institution of higher education apply for a grant?

- (a) To apply for a grant under this part, an institution of higher education shall submit an application that responds to the appropriate selection criteria in Sec. 648.31.
- (b) In addition, an application for a grant must--
 - (1) Describe the current academic program for which the grant is sought;
 - (2) Request a specific number of fellowships to be awarded on a full-time basis for the academic year covered under the grant in each academic field included in the application;
 - (3) Set forth policies and procedures to ensure that in making fellowship awards under this part the institution will seek talented students from traditionally underrepresented backgrounds;
 - (4) Set forth policies and procedures to assure that in making fellowship awards under this part the institution will make awards to individuals who satisfy the requirements of Sec. 648.40;
 - (5) Set forth policies and procedures to ensure that Federal funds made available under this part for any fiscal year will be used to supplement and, to the extent practical, increase the funds that otherwise would be made available for the purposes of this part and, in no case, to supplant those funds;
 - (6) Provide assurances that the institution will provide the institutional matching contribution described in Sec. 648.7;

(7) Provide assurances that, in the event that funds made available to the academic department under this part are insufficient to provide the assistance due a student under the commitment entered into between the academic department and the student, the academic department will, from any funds available to it, fulfill the commitment to the student;

(8) Provide that the institution will comply with the requirements in subpart F; and

(9) Provide assurances that the academic department will provide at least one year of supervised training in instruction to students receiving fellowships under this program.

(c) In any application period, an academic department may not submit more than one application for new awards.

(Approved by the Office of Management and Budget under control number 1840-0604)

(Authority: 20 U.S.C. 1135b)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

Subpart C--How Does the Secretary Make an Award?

Sec. 648.30 How does the Secretary evaluate an application?

- (a) The Secretary evaluates an application on the basis of the criteria in Sec. 648.31.
- (b) The Secretary awards up to 100 points for these criteria.
- (c) The maximum possible score for each criterion is indicated in parentheses.

(Authority: 20 U.S.C. 1135, 1135b)

Sec. 648.31 What selection criteria does the Secretary use?

The Secretary uses the following criteria to evaluate an application:

- (a) **Meeting the purposes of the program.** (7 points) The Secretary reviews each application to determine how well the project will meet the purposes of the program, including the extent to

which--

(1) The applicant's general and specific objectives for the project are realistic and measurable;

(2) The applicant's objectives for the project seek to sustain and enhance the capacity for teaching and research at the institution and at State, regional, or national levels;

(3) The applicant's objectives seek to institute policies and procedures to ensure the enrollment of talented graduate students from traditionally underrepresented backgrounds; and

(4) The applicant's objectives seek to institute policies and procedures to ensure that it will award fellowships to individuals who satisfy the requirements of Sec. 648.40.

(b) **Extent of need for the project.** (5 points) The Secretary considers the extent to which a grant under the program is needed by the academic department by considering--

(1) How the applicant identified the problems that form the specific needs of the project;

(2) The specific problems to be resolved by successful realization of the goals and objectives of the project; and

(3) How increasing the number of fellowships will meet the specific and general objectives of the project.

(c) **Quality of the graduate academic program.** (25 points) The Secretary reviews each application to determine the quality of the current graduate academic program for which project funding is sought, including--

(1) The course offerings and academic requirements for the graduate program;

(2) The qualifications of the faculty, including education, research interest, publications, teaching ability, and accessibility to graduate students;

(3) The focus and capacity for research; and

(4) Any other evidence the applicant deems appropriate to demonstrate the quality of its academic program.

(d) **Quality of the supervised teaching experience.** (5 points) The Secretary reviews each application to determine the quality of the teaching experience the applicant plans to provide fellows under this program, including the extent to which the project--

(1) Provides each fellow with the required supervised training in instruction;

(2) Provides adequate instruction on effective teaching techniques;

(3) Provides extensive supervision of each fellow's teaching performance; and

(4) Provides adequate and appropriate evaluation of the fellow's teaching performance.

(e) **Recruitment plan.** (10 points) The Secretary reviews each application to determine the quality of the applicant's recruitment plan, including--

(1) How the applicant plans to identify, recruit, and retain students from traditionally underrepresented backgrounds in the academic program for which fellowships are sought;

(2) How the applicant plans to identify eligible students for fellowships;

(3) The past success of the academic department in enrolling talented graduate students from traditionally underrepresented backgrounds; and

(4) The past success of the academic department in enrolling talented graduate students for its academic program.

(f) **Project administration.** (7 points) The Secretary reviews the quality of the proposed project administration, including--

(1) How the applicant will select fellows, including how the applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, religion, gender, age, or disabling condition;

(2) How the applicant proposes to monitor whether a fellow is making satisfactory progress toward the degree for which the fellowship has been awarded;

(3) How the applicant proposes to identify and meet the academic needs of fellows;

(4) How the applicant proposes to maintain enrollment of graduate students from traditionally underrepresented backgrounds; and

(5) The extent to which the policies and procedures the applicant proposes to institute for administering the project are likely to ensure efficient and effective project implementation, including assistance to and oversight of the project director.

(g) **Institutional commitment.** (14 points) The Secretary reviews each application for evidence that--

(1) The applicant will provide, from any funds

available to it, sufficient funds to support the financial needs of the fellows if the funds made available under the program are insufficient;

(2) The institution's social and academic environment is supportive of the academic success of students from traditionally underrepresented backgrounds on the applicant's campus;

(3) Students receiving fellowships under this program will receive stipend support for the time necessary to complete their courses of study, but in no case longer than 5 years; and

(4) The applicant demonstrates a financial commitment, including the nature and amount of the institutional matching contribution, and other institutional commitments that are likely to ensure the continuation of project activities for a significant period of time following the period in which the project receives Federal financial assistance.

(h) **Quality of key personnel.** (5 points) The Secretary reviews each application to determine the quality of key personnel the applicant plans to use on the project, including--

(1) The qualifications of the project director;

(2) The qualifications of other key personnel to be used in the project;

(3) The time commitment of key personnel, including the project director, to the project; and

(4) How the applicant, as part of its nondiscriminatory employment practices, will ensure that its personnel are selected without regard to race, color, national origin, religion, gender, age, or disabling condition, except pursuant to a lawful affirmative action plan.

(i) **Budget.** (5 points) The Secretary reviews each application to determine the extent to which--

(1) The applicant shows a clear understanding of the acceptable uses of program funds; and

(2) The costs of the project are reasonable in relation to the objectives of the project.

(j) **Evaluation plan.** (12 points) The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the applicant's methods of evaluation--

(1) Relate to the specific goals and measurable objectives of the project;

(2) Assess the effect of the project on the students receiving fellowships under this

program, including the effect on persons of different racial and ethnic backgrounds, genders, and ages, and on persons with disabilities who are served by the project;

(3) List both process and product evaluation questions for each project activity and outcome, including those of the management plan;

(4) Describe both the process and product evaluation measures for each project activity and outcome;

(5) Describe the data collection procedures, instruments, and schedules for effective data collection;

(6) Describe how the applicant will analyze and report the data so that it can make adjustments and improvements on a regular basis; and

(7) Include a time-line chart that relates key evaluation processes and benchmarks to other project component processes and benchmarks.

(k) **Adequacy of resources.** (5 points) The Secretary reviews each application to determine the adequacy of the resources that the applicant makes available to graduate students receiving fellowships under this program, including facilities, equipment, and supplies.

(Approved by the Office of Management and Budget under control number 1840-0604)

(Authority: 20 U.S.C. 1135-1135c)

Sec. 648.32 What additional factors does the Secretary consider?

(a) **Continuation awards.** (1) Before funding new applications, the Secretary gives preference to grantees requesting their second or third year of funding.

(2) If appropriations for this program are insufficient to fund all continuation grantees for the second and third years at the approved funding level, the Secretary prorates the available funds, if any, among the continuation grantees and, if necessary, awards continuation grants of less than \$100,000.

(b) **Equitable distribution.** In awarding grants, the Secretary will, consistent with an allocation of awards based on the quality of competing applications, ensure the following:

(1) An equitable geographic distribution of

grants to eligible applicant institutions of higher education.

(2) An equitable distribution of grants to eligible applicant public and eligible applicant private institutions of higher education.

(Authority: 20 U.S.C. 1135-1135c)

Sec. 648.33 What priorities and absolute preferences does the Secretary establish?

(a) For each application period, the Secretary establishes as an area of national need and gives absolute preference to one or more of the general disciplines and sub-disciplines listed as priorities in the appendix to this part or the resulting inter-disciplines.

(b) The Secretary announces the absolute preferences in a notice published in the Federal Register.

(Authority: 20 U.S.C. 1135, 1135a)

Subpart D--How Are Fellows Selected?

Sec. 648.40 How does an academic department select fellows?

(a) In selecting individuals to receive fellowships, an academic department shall consider only individuals who--

(1) Are currently enrolled as graduate students, have been accepted at the grantee institution, or are enrolled or accepted as graduate students at an eligible non-degree-granting institution;

(2) Are of superior ability;

(3) Have an excellent academic record;

(4) Have financial need;

(5) Are planning to pursue the highest possible degree available in their course of study;

(6) Are planning a career in teaching or research;

(7) Are not ineligible to receive assistance under 34 CFR 75.60; and

(8)(i) Are United States citizens or nationals;

(ii) Are permanent residents of the United States;

(iii) Provide evidence from the Immigration and Naturalization Service that they are in the

United States for other than a temporary purpose with the intention of becoming permanent residents; or

(iv) Are citizens of any one of the Freely Associated States.

(b) An individual who satisfies the eligibility criteria in paragraph (a) of this section, but who attends an institution that does not offer the highest possible degree available in the individual's course of study, is eligible for a fellowship if the individual plans to attend subsequently an institution that offers this degree.

(Authority: 20 U.S.C. 1135, 1135b)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

Sec. 648.41 How does an individual apply for a fellowship?

An individual shall apply directly to an academic department of an institution of higher education that has received a grant.

(Authority: 20 U.S.C. 1135, 1135c)

Subpart E--How Does the Secretary Distribute Funds?

Sec. 648.50 What are the Secretary's payment procedures?

(a) The Secretary awards to the institution of higher education a stipend and an institutional payment for each individual awarded a fellowship under this part.

(b) If an academic department of an institution of higher education is unable to use all of the amounts available to it under this part, the Secretary reallots the amounts not used to academic departments of other institutions of higher education for use in the academic year following the date of the reallotment.

(Authority: 20 U.S.C. 1135a, 1135c, 1135d)

Sec. 648.51 What is the amount of a stipend?

(a) For a fellowship initially awarded for an

academic year prior to the academic year 1993-94, the institution shall pay the fellow a stipend in an amount that equals the fellow's financial need or \$10,000, whichever is less.

(b) For a fellowship initially awarded for the academic year 1993-94, or any succeeding academic year, the institution shall pay the fellow a stipend at a level of support equal to that provided by the National Science Foundation graduate fellowships, except that this amount must be adjusted as necessary so as not to exceed the fellow's demonstrated level of financial need as determined under part F of title IV of the HEA. The Secretary announces the amount of the stipend in a notice published in the Federal Register.

(Authority: 20 U.S.C. 1135c)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

Sec. 648.52 What is the amount of the institutional payment?

(a) For academic year 1998-1999, the amount of the institutional payment received by an institution of higher education for each student awarded a fellowship at the institution is \$10,222. Thereafter, the Secretary adjusts the amount of the institutional payment annually in accordance with inflation as determined by the United States Department of Labor's Consumer Price Index for the previous calendar year. The Secretary announces the amount of the institutional payment in a notice published in the Federal Register.

(b) The institutional allowance paid under paragraph (a) of this section is reduced by the amount the institution charges and collects from a fellowship recipient for tuition and other expenses as part of the recipient's instructional program.

(Authority: 20 U.S.C. 1135d)

[58 FR 65842, Dec. 16, 1993, as amended at 64 FR 13487, Mar. 18, 1999]

Subpart F--What Are the Administrative Responsibilities of the Institution?

Sec. 648.60 When does an academic department make a commitment to a fellow to provide stipend support?

(a) An academic department makes a commitment to a fellow at any point in his or her graduate study for the length of time necessary for the fellow to complete the course of graduate study, but in no case longer than five years.

(b) An academic department shall not make a commitment under paragraph (a) of this section to provide stipend support unless the academic department has determined that adequate funds are available to fulfill the commitment either from funds received or anticipated under this part or from institutional funds.

(Authority: 20 U.S.C. 1135c)

Sec. 648.61 How must the academic department supervise the training of fellows?

The institution shall provide to fellows at least one academic year of supervised training in instruction at the graduate or undergraduate level at the schedule of at least one-half-time teaching assistant.

(Authority: 20 U.S.C. 1135b)

Sec. 648.62 How can the institutional payment be used?

(a) The institutional payment must be first applied against a fellow's tuition and fees.

(b) After payment of a fellow's tuition and fees, the institutional payment may be applied against educational expenses of the fellow that are not covered by tuition and fees and are related to the academic program in which the fellow is enrolled. These expenses include the following:

(1) Costs for rental or purchase of any books, materials, or supplies required of students in the same course of study.

(2) Costs of computer hardware, project specific software, and other equipment prorated by the length of the student's fellowship over the

reasonable life of the equipment.

(3) Membership fees of professional associations.

(4) Travel and per diem to professional association meetings and registration fees.

(5) International travel, per diem, and registration fees to participate in educational activities.

(6) Expenses incurred in research.

(7) Costs of reproducing and binding of educational products.

(c) The institutional payment must supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of the program and, in no case, to supplant institutional funds currently available for fellowships.

(Authority: 20 U.S.C. 1135b, 1135d)

Sec. 648.63 How can the institutional matching contribution be used?

(a) The institutional matching contribution may be used to--

(1) Provide additional fellowships to graduate students who are not already receiving fellowships under this part and who satisfy the requirements of Sec. 648.40;

(2) Pay for tuition, fees, and the costs listed in Sec. 648.62(b);

(3) Pay for costs of providing a fellow's instruction that are not included in the tuition or fees paid to the institution in which the fellow is enrolled; and

(4) Supplement the stipend received by a fellow under Sec. 648.51 in an amount not to exceed a fellow's financial need.

(b) An institution may not use its institutional matching contribution to fund fellowships that were funded by the institution prior to the award of the grant.

(Authority: 20 U.S.C. 1135, 1135b, 1135c)

Sec. 648.64 What are unallowable costs?

Neither grant funds nor the institutional matching funds may be used to pay for general operational overhead costs of the academic department.

(Authority: 20 U.S.C. 1135, 1135d)

Sec. 648.65 How does the institution of higher education disburse and return funds?

(a) An institution that receives a grant shall disburse a stipend to a fellow in accordance with its regular payment schedule, but shall not make less than one payment per academic term.

(b) If a fellow withdraws from an institution before completion of an academic term, the institution may award the fellowship to another individual who satisfies the requirements in Sec. 648.40.

(c) If a fellowship is vacated or discontinued for any period of time, the institution shall return a prorated portion of the institutional payment and unexpended stipend funds to the Secretary, unless the Secretary authorizes the use of those funds for a subsequent project period. The institution shall return the prorated portion of the institutional payment and unexpended stipend funds at a time and in a manner determined by the Secretary.

(d) If a fellow withdraws from an institution before the completion of the academic term for which he or she received a stipend installment, the fellow shall return a prorated portion of the stipend installment to the institution at a time and in a manner determined by the Secretary.

(Authority: 20 U.S.C. 1135c, 1135d)

Sec. 648.66 What records and reports are required from the institution?

(a) An institution of higher education that receives a grant shall provide to the Secretary, prior to the receipt of grant funds for disbursement to a fellow, a certification that the fellow is enrolled in, is making satisfactory progress in, and is devoting essentially full time to study in the academic field for which the grant was made.

(b) An institution of higher education that receives a grant shall keep records necessary to establish--

(1) That each student receiving a fellowship satisfies the eligibility requirements in Sec. 648.40;

(2) The time and amount of all disbursements and return of stipend payments;

(3) The appropriate use of the institutional payment; and

(4) That assurances, policies, and procedures provided in its application have been satisfied.

(Approved by the Office of Management and Budget under control number 1840-0604)

(Authority: 20 U.S.C. 1135-1135d)

Subpart G--What Conditions Must Be Met by a Fellow After an Award?

Sec. 648.70 What conditions must be met by a fellow?

To continue to be eligible for a fellowship, a fellow must--

(a) Maintain satisfactory progress in the program for which the fellowship was awarded;

(b) Devote essentially full time to study or research in the academic field in which the fellowship was awarded; and

(c) Not engage in gainful employment, except on a part-time basis in teaching, research, or similar activities determined by the academic department to be in support of the fellow's progress toward a degree.

(Authority: 20 U.S.C. 1135c)

Appendix to Part 648--Academic Areas

The Secretary may give an absolute preference to any of the academic areas listed as disciplines or subdisciplines below, or the resulting inter-disciplines. The list was derived from the Classification of Instructional Programs (CIP) developed by the Office of Educational Research and Improvement of the U.S. Department of Education and includes the instructional programs that may constitute courses of studies toward graduate degrees. The code number to the left of each discipline and subdiscipline is the Department's identification code for that particular type of instructional program.

05. Area, Ethnic, and Cultural Studies

05.01 Area Studies

05.02 Ethnic and Cultural Studies

11. Computer and Information Sciences

11.01 Computer and Information Sciences, General

11.02 Computer Programming

11.04 Information Sciences and Systems

11.05 Computer Systems Analysis

11.07 Computer Science

13. Education

13.01 Education, General

13.02 Bilingual/Bicultural Education

13.03 Curriculum and Instruction

13.04 Education Administration and Supervision

13.05 Educational/Instructional Media Design

13.06 Educational Evaluation, Research, and Statistics

13.07 International and Comparative Education

13.08 Educational Psychology

13.09 Social and Philosophical Foundations of Education

13.10 Special Education

13.11 Student Counseling and Personnel Services

13.12 General Teacher Education

13.13 Teacher Education, Specific Academic, and Vocational Programs

13.14 Teaching English as a Second Language/Foreign Language

14. Engineering

14.01 Engineering, General

14.02 Aerospace, Aeronautical, and Astronautical Engineering

14.03 Agricultural Engineering

14.04 Architectural Engineering

14.05 Bioengineering and Biomedical Engineering

14.06 Ceramic Sciences and Engineering

14.07 Chemical Engineering

14.08 Civil Engineering

14.09 Computer Engineering

14.10 Electrical, Electronic, and Communications Engineering

14.11 Engineering Mechanics

14.12 Engineering Physics

14.13 Engineering Science

14.14 Environmental/Environmental Health Engineering

- 14.15 Geological Engineering
- 14.16 Geophysical Engineering
- 14.17 Industrial/Manufacturing Engineering
- 14.18 Materials Engineering
- 14.19 Mechanical Engineering
- 14.20 Metallurgical Engineering
- 14.21 Mining and Mineral Engineering
- 14.22 Naval Architecture and Marine Engineering
- 14.23 Nuclear Engineering
- 14.24 Ocean Engineering
- 14.25 Petroleum Engineering
- 14.27 Systems Engineering
- 14.28 Textile Sciences and Engineering
- 14.29 Engineering Design
- 14.30 Engineering/Industrial Management
- 14.31 Materials Science
- 14.32 Polymer/Plastics Engineering
- 16. Foreign Languages
 - 16.01 Foreign Languages and Literatures
 - 16.03 East and Southeast Asian Languages and Literatures
 - 16.04 East European Languages and Literatures
 - 16.05 Germanic Languages and Literatures
 - 16.06 Greek Languages and Literatures
 - 16.07 South Asian Languages and Literatures
 - 16.09 Romance Languages and Literatures
 - 16.11 Middle Eastern Languages and Literatures
 - 16.12 Classical and Ancient Near Eastern Languages and Literatures
- 22. Law and Legal Studies
 - 22.01 Law and Legal Studies
- 25. Library Science
 - 25.01 Library Science/Librarianship
 - 25.03 Library Assistant
- 26. Biological Sciences/Life Sciences
 - 26.01 Biology, General
 - 26.02 Biochemistry and Biophysics
 - 26.03 Botany
 - 26.04 Cell and Molecular Biology
 - 26.05 Microbiology/Bacteriology
 - 26.06 Miscellaneous Biological Specializations
 - 26.07 Zoology
- 27. Mathematics
 - 27.01 Mathematics
 - 27.03 Applied Mathematics
 - 27.05 Mathematic Statistics
- 40. Physical Sciences
 - 40.01 Physical Sciences, General
 - 40.02 Astronomy
 - 40.03 Astrophysics
 - 40.04 Atmospheric Sciences and Meteorology
 - 40.05 Chemistry
 - 40.06 Geological and Related Sciences
 - 40.07 Miscellaneous Physical Sciences
 - 40.08 Physics
- 42. Psychology
 - 42.01 Psychology
 - 42.02 Clinical Psychology
 - 42.03 Cognitive Psychology and Psycholinguistics
 - 42.04 Community Psychology
 - 42.06 Counseling Psychology
 - 42.07 Developmental and Child Psychology
 - 42.08 Experimental Psychology
 - 42.09 Industrial and Organizational Psychology
 - 42.11 Physiological Psychology/Psychobiology
 - 42.16 Social Psychology
 - 42.17 School Psychology
- 50. Visual and Performing Arts
 - 50.01 Visual and Performing Arts
 - 50.02 Crafts, Folk Art, and Artisanry
 - 50.03 Dance
 - 50.04 Design and Applied Arts
 - 50.05 Dramatic/Theater Arts and Stagecraft
 - 50.06 Film/Video and Photographic Arts
 - 50.07 Fine Arts and Art Studies
 - 50.09 Music
- 51. Health Professions and Related Sciences
 - 51.01 Chiropractic (D.C., D.C.M.)
 - 51.02 Communication Disorders Sciences and Services
 - 51.03 Community Health Services
 - 51.04 Dentistry (D.D.S., D.M.D.)
 - 51.05 Dental Clinical Sciences/Graduate Dentistry (M.S., Ph.D.)
 - 51.06 Dental Services
 - 51.07 Health and Medical Administrative Services
 - 51.08 Health and Medical Assistants
 - 51.09 Health and Medical Diagnostic and Treatment Services
 - 51.10 Health and Medical Laboratory Technologies/Technicians
 - 51.11 Health and Medical Preparatory Programs

51.12 Medicine (M.D.)
51.13 Medical Basic Science
51.14 Medical Clinical Services (M.S., Ph.D)
51.15 Mental Health Services
51.16 Nursing
51.17 Optometry (O.D.)
51.18 Ophthalmic/Optometric Services
51.19 Osteopathic Medicine (D.O.)
51.20 Pharmacy
51.21 Podiatry (D.P.M., D.P., Pod.D.)
51.22 Public Health
51.23 Rehabilitation/Therapeutic Services
51.24 Veterinary Medicine (D.V.M.)
51.25 Veterinary Clinical Services
51.27 Miscellaneous Health Professions

PART I

**APPLICATION FACESHEET AND INSTRUCTIONS FOR
FEDERAL ASSISTANCE &
PROTECTION OF HUMAN SUBJECTS**

Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved
OMB No. 1890-0017
Exp. 04/30/2008

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | | | |

3. Applicant's T-I-N | | | | - | | | | | | | | | |

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | |

Title: _____

5. Project Director: _____

Address: _____

City State Zip code + 4

Tel. #: () - Fax #: () -

E-Mail Address: _____

6. Novice Applicant ☐ Yes ☐ No

7. Is the applicant delinquent on any Federal debt? ☐ Yes ☐ No
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) | | | |

A - State F - Independent School District
B - Local G - Public College or University
C - Special District H - Private, Non-profit College or University
D - Indian Tribe I - Non-profit Organization
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): _____

9. State Application Identifier _____

Application Information

10. Type of Submission:

-PreApplication *-Application*
☐ Construction ☐ Construction
☐ Non-Construction ☐ Non-Construction

11. Is application subject to review by Executive Order 12372 process?

☐ Yes (Date made available to the Executive Order 12372
process for review): ____/____/____

☐ No (If "No," check appropriate box below.)

☐ Program is not covered by E.O. 12372.

☐ Program has not been selected by State for review.

12. Proposed Project Dates: ____/____/____

Start Date:

End Date:

13. Are any research activities involving human subjects planned at
any time during the proposed project period?

☐ Yes (Go to 13a.) ☐ No (Go to item 14.)

13a. Are **all** the research activities proposed designated to be
exempt from the regulations?

☐ Yes (Provide Exemption(s) #): _____

☐ No (Provide Assurance #): _____

14. Descriptive Title of Applicant's Project:

Estimated Funding

15a. Federal \$ _____ . 00

b. Applicant \$ _____ . 00

c. State \$ _____ . 00

d. Local \$ _____ . 00

e. Other \$ _____ . 00

f. Program Income \$ _____ . 00

g. TOTAL \$ _____ . 00

Authorized Representative Information

16. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: _____

c. Tel. #: () - Fax #: () -

d. E-Mail Address: _____

e. Signature of Authorized Representative

Date: ____/____/____

Instructions for Form ED 424

1. Legal Name and Address. Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.

2. D-U-N-S Number. Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.

3. Tax Identification Number. Enter the taxpayer's identification number as assigned by the Internal Revenue Service.

4. Catalog of Federal Domestic Assistance (CFDA) Number. Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.

5. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

6. Novice Applicant. Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.

7. Federal Debt Delinquency. Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."

8. Type of Applicant. Enter the appropriate letter in the box provided.

9. State Application Identifier. State use only (if applicable).

10. Type of Submission. See "Definitions for Form ED 424" attached.

11. Executive Order 12372. See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."

12. Proposed Project Dates. Please enter the month, day, and four (4) digit year (mm/dd/yyyy).

13. Human Subjects Research. (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

13a. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

13a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

13a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is

recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

14. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

15. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official

representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 16e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260.

Definitions for Form ED 424

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. “Construction” includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects’ fees and the cost of acquisition of land). “Construction” also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term “equipment” includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on

E.O. 12372 go to http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department’s regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or

alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 13 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked "Yes" for item 13 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked "No" for item 13 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>.

PART II

**BUDGET INFORMATION &
INSTRUCTIONS**

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) FELLOWSHIP PROGRAM

PART II. - BUDGET INFORMATION

SECTION A: FELLOWSHIP DATA FOR EACH SINGLE DISCIPLINE								
1. Discipline and CIP code	2. Number of fellowships from Federal funds 1st year: 2nd year: 3rd year:				3. Additional fellowships from institutional matching contributions 1st year: 2nd year: 3rd year:			

SECTION B: FEDERAL FUNDS REQUESTED AND REQUIRED INSTITUTIONAL MATCHING CONTRIBUTIONS								
	1st Year		2nd Year		3rd Year		Total	
Allowable Cost Categories	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal
4. Stipends								
5. Institutional Payment								
6. Tuition								
7. Fees								
8. Other Educational Costs								
9. Total								
10. Total Program Funds (Federal + Non-Federal)								

Note: Please refer to 34 CFR Part 648 Subpart F-- What are the Administrative Responsibilities of the Institution for budget information.
(Federal funds remaining at the end of the current budget period will be carried over into the next budget period. The total amount of the next budget period may be reduced by the amount carried over.

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED (GAANN) FELLOWSHIP PROGRAM

FELLOWSHIP DATA SUMMARY FOR TWO OR MORE DISCIPLINES

SECTION C: FELLOWSHIP DATA SUMMARY FOR TWO OR MORE DISCIPLINES								
1. Disciplines and CIP codes	2. Total number of fellowships from Federal funds 1st year: 2nd year: 3rd year:				3. Total additional fellowships from institutional matching contributions 1st year: 2nd year: 3rd year:			
SECTION D: SUMMARY OF FEDERAL FUNDS REQUESTED AND REQUIRED INSTITUTIONAL MATCHING CONTRIBUTIONS								
	1st Year		2nd Year		3rd Year		Total	
Allowable Cost Categories	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal	Federal	Non-Federal
4. Stipends								
5. Institutional Payment								
6. Tuition								
7. Fees								
8. Other Educational Costs								
9. Total								
10. Total Program Funds (Federal +Non-Federal)								

(Federal funds remaining at the end of the current budget period will be carried over into the next budget period. The total amount of the next budget period may be reduced by the amount carried over).

PART II - BUDGET INFORMATION INSTRUCTIONS

General Instructions

Prepare Part II - Budget Information forms for *all years* of your proposed project.

- Single discipline or area applicants need *only* complete Sections A and B.
- Applicants requesting support for more than one discipline or area must complete Section A and B for *each* discipline for which support is requested *and* Section C and D summary data. Please make additional photocopies of all budget forms if necessary.

Note: The program regulations, Sec. 648.5(b) state that in any fiscal year, no academic department may receive more than \$750,000 as an aggregate total of new and continuing grants.

Section A: Fellowship Data for Each Discipline

Complete this section for each discipline or area proposed for your fellowship project.

1. Discipline and CIP code. Enter the national need priority area or discipline and the Classification of Instructional Programs (CIP) code listed on page 30. List only one discipline or area and one CIP code.

If support for more than one discipline or area is requested, a separate form (Section A and B) must be filled out for each discipline or area.

2. Number of fellowships from Federal funds. Enter the number of fellowships to be supported from Federal funds for each year of the proposed project.

3. Additional fellowships from institutional matching contributions. Enter the number of additional fellowships that will be supported from institutional matching contributions for each year of the proposed project.

Section B: Federal Funds Requested and Required Institutional Matching Contribution

Institutional matching contributions must equal a minimum of 25% of the Federal funds requested.

4. Stipends. Enter the dollar amounts of requested Federal funds and non-Federal contributions (institutional matching) for each year of the proposed project. Sum the totals for all the years of the proposed project. Estimate a stipend of \$30,000 per GAANN fellow for each academic year.

5. Institutional payment. Enter the Federal funds for the institutional payment for each year of the proposed project. Sum the total for all the years of the proposed project. Estimate an institutional payment of \$11,822 per GAANN fellow for each academic year.

6 - 8. Tuition, fees, and other educational costs. Enter the amounts of tuition, fees, and other educational costs to be contributed from institutional matching (non-Federal) funds for each year of the proposed project. Sum the totals for all the years of the proposed project.

9. Total. Sum the Federal funds requested and the institutional matching funds to be contributed for each year of the proposed project. Sum the totals for all the years of the proposed project. Total Federal funds

requested must not be less than \$100,000 nor greater than \$750,000 in any fiscal year, see “Note” above.
Institutional matching contributions must be no less than 25% of Federal funds awarded.

10. Total program funds. Enter the total of Federal and institutional (non-Federal) matching funds for each year of the proposed project. Sum the totals for all the years of the proposed project.

Section C: Fellowship Data Summary for Two or More Disciplines

Complete this section if *two or more* disciplines or areas are proposed for your fellowship project.

1. Disciplines and CIP codes. Enter the national need priority areas or disciplines and the Classification of Instructional Programs (CIP) codes for all areas addressed in the application. The data entered must be consistent with entries in all the Section A and B forms completed for each single discipline.

2. Total number of fellowships from Federal funds. Enter the total number of fellowships for all disciplines to be supported from Federal funds for each year of the proposed project.

3. Total additional fellowships from institutional matching contributions. Enter the total number of additional fellowships, if any, that will be supported for all disciplines from institutional matching contributions for each year of the proposed project.

Section D: Summary of Federal Funds Requested and Required Institutional Matching Contributions

Use this section to summarize all requested allowable costs for all disciplines for all the years of the proposed project. Sum all totals. See the instructions for Section C.

PART III

APPLICATION NARRATIVE

PART III – APPLICATION NARRATIVE

Applications must be submitted electronically via e-Application. Please see page 49 for further information and instructions for submitting applications.

Before preparing the application narrative, the applicant should read **carefully** the program statute, Notice Inviting New Applications, and the program regulations, including Subpart B, §648.20 How does an Institution of Higher Education Apply for a Grant? and Subpart C, §648.30 through §648.33, How Does the Secretary Make an Award?

Narrative Content

1. Begin with a one-page abstract of the proposed project, i.e. a short summary covering the discipline(s) and anticipated numbers of GAANN fellows to be involved, and the expected outcome.
2. Address each selection criterion, including all sub-criteria, in sequential order. The selection criteria can be found in the program regulations, Subpart C, §648.31, What Selection Criteria Does the Secretary Use? on page 24 of this application booklet.
3. Include a statement addressing Section 427 of the General Education Provisions Act (GEPA).
4. Include any other pertinent information that might assist the Secretary in the review of the application.

Narrative Page Limits

The application narrative (Part III of the application) for applications in a single discipline must be limited to the equivalent of no more than 40 pages.

Interdisciplinary applications, as defined below, must be limited to the equivalent of no more than 60 pages.

Multidisciplinary applications, as defined below, must be limited to the equivalent of no more than 40 pages for each academic discipline included in the proposal.

***Note:** An interdisciplinary application must request funding for a single proposed program of study that involves in two or more disciplines. A multidisciplinary application must request funding for two or more proposed programs of study that are independent and unrelated to one another. Applicants must abide by the definitions of Interdisciplinary and Multidisciplinary when applying page limits.

ALL applications (single, Inter-, or Multi-disciplinary) must apply the following standards:

- A “page” is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions.

However, you may single space all text in charts, tables, figures, and graphs. Charts, tables, figures, and graphs presented in the application narrative count toward the page limit.

- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch). However, you may use a 10 point font in charts, tables, figures, and graphs.
- Use one of the following fonts: Times New Roman, Courier, Courier New or Arial. Applications submitted in any other font (including Times Roman, Arial Narrow) will not be accepted.
- Appendices are limited to the following:
 1. Curriculum vitae - no more than two (2) pages per faculty member;
 2. Course listing;
 3. Letters of support;
 4. Bibliography; and
 5. One additional optional appendix relevant to the support of the proposal, not to exceed five (5) pages.

The page limit does not apply to Part I, the cover sheet; Part II, the budget section; the assurances and certifications; the one-page abstract; or the appendices. However, you must include all of the application narrative in Part III.

Page limitations will be strictly enforced. Your application will be rejected if you apply these standards and exceed the page limit or you apply other standards and exceed the equivalent of the page limit.

NOTE: Section 648.31 – What selection criteria does the Secretary use?

The selection criteria at C.F.R. 648.31, consider an applicant's policies and procedures to ensure enrollment of talented graduate students from traditionally underrepresented backgrounds. Do these criteria require an applicant to give priority to or set aside stipends for students based on race or ethnicity?

That is not the intent of the selection criteria. Rather, they are intended to direct applicants to engage in outreach and recruitment efforts as a means of fostering the enrollment of eligible students from traditionally underrepresented backgrounds. The GAANN criteria do not independently require or authorize applicants to give priority for or set aside stipends for students based on race or ethnicity.

It should be noted, however, that an institution of higher education (IHE) is permitted to take race and ethnicity into consideration in the award of financial aid, provided that the institution complies with the legal principles described in the Department's policy guidance on race-targeted financial aid, under Title VI of the Civil Rights Act, which was published in the Federal Register on February 23, 1994 (59 FED.REG8756). In summary, it is permissible for IHE's to consider race and ethnicity in granting financial aid in order to promote diversity of their student body and to remedy the effects of discrimination. As explained in this guidance, use of race or ethnicity as a remedy or to promote diversity, must be narrowly tailored to achieve those

objectives. IHE's that seek to do this should consult the policy guidance for further clarification on how to ensure that race-targeted financial aid is narrowly tailored to meet the objectives of remedying past discrimination or promoting diversity. IHE's in the Fifth Circuit should note that their discrimination in a public school system as a whole is unclear in light of the Fifth Circuit's decision in Hopewood v. Texas, 78F 3d 932 (5th Cir.) cert, denied, Texas v. Hopewood, 115 S. CT. 2581 (1996).

PLEASE NOTE – NEW ELECTRONIC SUBMISSION POLICY

Electronic Submission is Required - As outlined in the Federal Register notice for this grant competition, applications must be submitted electronically. You must submit your application using the electronic application system designated in the Federal Register notice. (The notice will designate whether you will use e-Application or Grants.gov). You may not e-mail an electronic copy to us. We will reject your application if you submit it in paper format unless you qualify for one of the exceptions to the electronic submission requirement described below and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Under mandatory submission, electronic applications must be received by 4:30 pm Washington, D.C. time on the application deadline date. **Under this new policy, Education does not allow for any last minute waiver requests from applicants, which is a change from the previous policy for mandatory electronic submission. Consequently, we strongly encourage you to review the registration and submission procedures for the designated electronic application system right away. In addition, we strongly suggest that you do not wait until the deadline date to submit your application.**

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, by mail or hand delivery, if you are unable to submit an application through the electronic application system designated in the Federal Register notice because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the system;
and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date. (Please follow the fax instructions found in the Federal Register notice for this competition. Also, your paper application must be submitted in accordance with the mail or hand delivery instructions also described in the Federal Register notice for this grant competition.)

For detailed information on the electronic submission requirement for this competition, please refer to the Federal Register notice.

INSTRUCTIONS FOR TRANSMITTING APPLICATIONS

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, D.C. time) on the application deadline date. The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, D.C. time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesdays for maintenance (Washington, D.C. time). Any modifications to these hours are posted on the e-Grants Web site.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

Applications Sent by Mail

You must mail the original and two copies of the application on or before the deadline date to. **(Optional)** – To help expedite our review of your application, we would appreciate your voluntarily including an additional two (2) copies of your application.

Please mail copies to:

U.S. Department of Education
Application Control Center
Attention: CFDA# 84.200A
400 Maryland Avenue, S.W.
Washington, DC 20202 - 4260

You must show one of the following as proof of mailing:

- (1) A legibly dated U. S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Applications Delivered by Commercial Carrier:

Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; or U. S. Postal Service Express Mail) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the mailing instructions under the appropriate delivery method.

Applications that are delivered by commercial carrier, such as Federal Express, United Parcel Service, etc., should be mailed to the:

**U.S. Department of Education
Application Control Center – Stop 4260
Attention: CFDA# 84.200A
7100 Old Landover Road
Landover, MD 20785-1506**

Applications Delivered by Hand

You or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, D.C. time) on or before the deadline date. **(Optional)** – To help expedite our review of your application, we would appreciate your voluntarily including an additional two (2) copies of your application.

Please hand deliver copies to:

**U.S. Department of Education
Application Control Center
Attention: CFDA# (fill in number and suffix letter)
550 12th Street, S.W.
PCP - Room 7041
Washington, DC 20202 – 4260**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time), except Saturdays, Sundays and Federal holidays.

Name of Institution: _____

Title of Proposal: _____

ABSTRACT

Use this space for a brief abstract of your project

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue S.W., Washington, DC 20202-4250.

Use the space below to address the GEPA provision.

Notice to Applicants: The Government Performance and Results Act (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

- Goal 1: Create a Culture of Achievement*
- Goal 2: Improve Student Achievement*
- Goal 3: Develop Safe Schools and Strong Character*
- Goal 4: Transform Education into an Evidence-based Field*
- Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education*
- Goal 6: Establish Management Excellence*

The performance measures for the GAANN program are part of the Department's plan for meeting Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education.

What are the Performance Measures for the GAANN Program?

The Department's specific goal for the GAANN program is "to increase the number of persons trained at the highest academic level" in the areas of national need. The objective and performance measures are as follows:

Increase the number of graduate students in areas of national need, including the number from underrepresented populations.

- (1.1) **Graduate school completion:** Increase the percentage of GAANN fellows who obtain a doctorate degree in an area of national need.
- (1.2) **Enrollment of targeted populations:** Increase the percentage of GAANN fellows from traditionally underrepresented populations.
- (1.3) **Time-to-Degree:** The median time-to-degree completion for GAANN fellows will be less than the median duration for doctoral students in comparable fields as indicated by the Survey of Earned Doctorates.

All grantees will be expected to submit an annual performance report documenting their success in addressing these performance measures.

GRADUATE ASSISTANCE IN AREAS OF NATIONAL NEED PROGRAM

STATUTORY ASSURANCES

This form must be signed by the official who has authority to commit the organization to accept Federal funds and submitted with the application.

1. From the funds received under this program, the applicant will make commitments to graduate students at any point of their graduate study to provide stipends for the length of time necessary for the student to complete the course of graduate study, but in no case longer than five years. No such commitments will be made to students under this program unless the applicant has determined that adequate funds are available to fulfill the commitment from either funds received or anticipated under this program, or from institutional funds. In the event that funds made available to the academic department under the program are insufficient to provide the assistance due a student under the commitment entered into between the academic department and the student, the academic department will endeavor, from any funds available to it, to fulfill the commitment to the student.
2. For a fellowship initially awarded for the academic year 1998-99, or any succeeding academic year, the applicant will ensure that a stipend paid a fellow will be at a level of support equal to that provided by the National Science Foundation graduate fellowships, as of February 1, 2006, except that such amounts shall be adjusted as necessary so as not to exceed the fellow's demonstrated level of financial need.
3. The applicant will ensure that no student shall receive an award except during periods in which such student is maintaining satisfactory progress in, and devoting essentially full time to, study or research in the field in which such fellowship was awarded, or if the student is engaging in gainful employment other than part-time employment involved in teaching, research, or similar activities determined by the institution to be in support of the student's progress toward a degree.
4. The applicant will ensure that it will provide, from other non-Federal funds, for the purposes of the fellowship program under this part an amount equal to at least 25 percent of the amount of the grant received under this part.
5. The applicant will ensure that Federal funds or institutional matching contribution made available under this part for any fiscal year will be used to supplement and, to the extent practical, increase the funds that would otherwise be made available for the purpose of this part and in no case to supplant those funds.
6. The applicant will ensure that the academic department will provide at least one year of supervised training in instruction in accordance with §648.61 of the program regulations.

Signature of Authorized Certifying Official

Date

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.≡
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE
APPLICANT ORGANIZATION		DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Applicant's Organization	
Printed Name of Authorized Representative	Printed Title of Authorized Representative
Signature	Date

**Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled A Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if Known:		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:
Congressional District, if known:		Congressional District, if known:
6. Federal Department/Agency: 	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known: 	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		
Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____		Federal Use Only Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

Appendix

Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, S.W., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2004 the Federal Government will outlay \$400 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version: <http://www.whitehouse.gov/omb/grants/spoc.html>.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application materials directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in the [Catalog of Federal Domestic Assistance](#) Contents page. You can access Appendix IV by Agency [http://12.46.245.173/CFDA/appx4_web.pdf] or by State [http://12.46.245.173/CFDA/appx4_web_state.pdf].

ARKANSAS Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7 th Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 tracy.copeland@dfa.state.ar.us	CALIFORNIA Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 State.clearinghouse@opr.ca.gov
DELAWARE Sandra R. Stump Executive Department Office of the Budget 540 S. Dupont Highway , 3 rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 sandy.stump@state.de.us	DISTRICT OF COLUMBIA Marlene Jefferson DC Government Office of Partnerships and Grants Development 414 4 th Street, NW Washington, DC 20001 Telephone: (202) 727-6518 FAX: (202) 727-1652 marlene.Jefferson@dc.gov
FLORIDA Lauren P. Milligan Florida State Clearinghouse Florida Dept. of Environmental Protection 3900 Commonwealth Boulevard Mall Station 47 Tallahassee, Florida 32399-3000 Telephone: (850) 245-2161 FAX: (850) 245-2190 Lauren.Milligan@dep.state.fl.us	GEORGIA Barbara Jackson Georgia State Clearinghouse 270 Washington Street, SW, 8 th Floor Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 gach@mail.opb.state.ga.us
ILLINOIS Roukaya McCaffrey Department of Commerce and Economic Opportunities 620 East Adams, 6 th Floor Springfield, Illinois, 62701 Telephone: (217) 524-0188 FAX: (217) 558-0473 roukaya_mccaffrey@illinoisbiz.biz	IOWA Kathy Mable Iowa Department of Management State Capitol Building Room G12 1007 E Grand Avenue Des Moines, Iowa 50319 Telephone: (515) 281-8834 FAX: (515) 242-5897 Kathy.Mable@iowa.gov
KENTUCKY Ron Cook The Governor's Office for Local Development 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 / (800) 346-5606 FAX: (502) 573-2512 Ron.Cook@Ky.Gov	MAINE Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 (direct): (207) 287-1461 FAX: (207) 287-6489 joyce.benson@state.me.us

MARYLAND Linda C. Janey, J.D. Director, Capital Planning and Development Review Maryland Department of Planning 301 West Preston Street, Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 FAX: (410) 767-4480 linda@mail.op.state.md.us	MICHIGAN Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 FAX: (313) 961-4869 pfaff@semcog.org
MISSISSIPPI Mildred Tharpe Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 Fax: (601) 359-6758	MISSOURI Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 igr@mail.oa.state.mo.us
NEVADA Michael Stafford Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 FAX: (775) 684-0260 mstafford@budget.state.nv.us	NEW HAMPSHIRE MaryAnn Manoogian Director, New Hampshire Office of Energy and Planning Attn: Intergovernmental Review Process Benjamin Frost 57 Regional Drive Concord, New Hampshire 03301-8519 Telephone: (603) 271-2155 FAX: (603) 271-2615 irp@nh.gov
NEW YORK Linda Shkrell Office of Public Security Homeland Security Grants Coordination 633 3 rd Avenue New York, NY 10017 Telephone: (212) 867-1289 FAX: (212) 867-1725	NORTH DAKOTA Jim Boyd ND Department of Commerce 1600 East Century Avenue, Suite 2 P.O. Box 2057 Bismarck, North Dakota 58502-2057 Telephone: (701) 328-2676 FAX: (701) 328-2308 jboyd@state.nd.us
RHODE ISLAND Joyce Karger Department of Administration One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-6181 FAX: (401) 222-2083 jkarger@doa.state.ri.us	SOUTH CAROLINA SC Clearinghouse Budget and Control Board Office of State Budget 1201 Main Street, Suite 950 Columbia, South Carolina 29201 Telephone: (803) 734-0494 FAX: (803) 734-0645 clearinghouse@budget.state.sc.us

<p>TEXAS Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 FAX: (512) 936-2681 dfrancis@governor.state.tx.us</p>	<p>UTAH Sophia DiCaro Utah State Clearinghouse Governor's Office of Planning and Budget Utah Capitol Complex Suite E210, P.O. Box 142210 Salt Lake City, Utah 84114-2210 Telephone: (801) 538-1027 FAX: (801) 538-1547 ddicaro@utah.gov</p>
<p>WEST VIRGINIA Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 FAX: (304) 558-3248 fcutlip@wvdo.org</p>	<p>WISCONSIN Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street, 6th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 FAX: (608) 267-6931 jeffrey.smith@doa.state.wi.us</p>
<p>AMERICAN SAMOA Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs/Office of the Governor Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com</p>	<p>GUAM Director Bureau of Budget and Mgmt. Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 FAX: 011-671-472-2825 jer@ns.gov.gu</p>
<p>NORTH MARIANA ISLANDS Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 FAX: (670) 664-2272 omb.jseman@saipan.com</p>	<p>PUERTO RICO Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 FAX: (787) 722-6783</p>
<p>VIRGIN ISLANDS Ira Mills Director, Office of Management and Budget # 41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 FAX: (787) 776-0069 irmills@usvi.org</p>	

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to ephillips@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, N.W.
Washington, DC 20503

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance or CFDA (<http://www.cfda.gov>) and the Grants.gov Web site (<http://www.grants.gov>).

CHECKLIST FOR APPLICATION PACKAGE

Does the application include each of the following?

- ☐ Cover page
- ☐ Budget forms
- ☐ Application Narrative
- ☐ Abstract
- ☐ Assurances, Certifications and Disclosure Forms
- ☐ Information to address the provisions specified in Section 427 of GEPA

GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

(If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you.) If you fail to receive the notification of application receipt within fifteen (15) days from the closing date call:

U.S. Department of Education
Application Control Center
(202) 245-6288

(If your application is late, we will notify you that we will not consider the application.)

GRANT AND CONTRACTING FUNDING INFORMATION

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page	http://www.ed.gov/
OCFO Grants Page	http://www.ed.gov/about/offices/list/ocfo/grants/grants.html
OCFO Contracts Page	http://www.ed.gov/about/offices/list/ocfo/contracts/contracts.html